

National Aeronautics and
Space Administration



Innovation & Opportunity

VIRTUAL CONFERENCE

Propelling your business. Transitioning your technology.

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NASA SBIR/STTR Phase II- Extended Option Overview

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Lead



MISSION

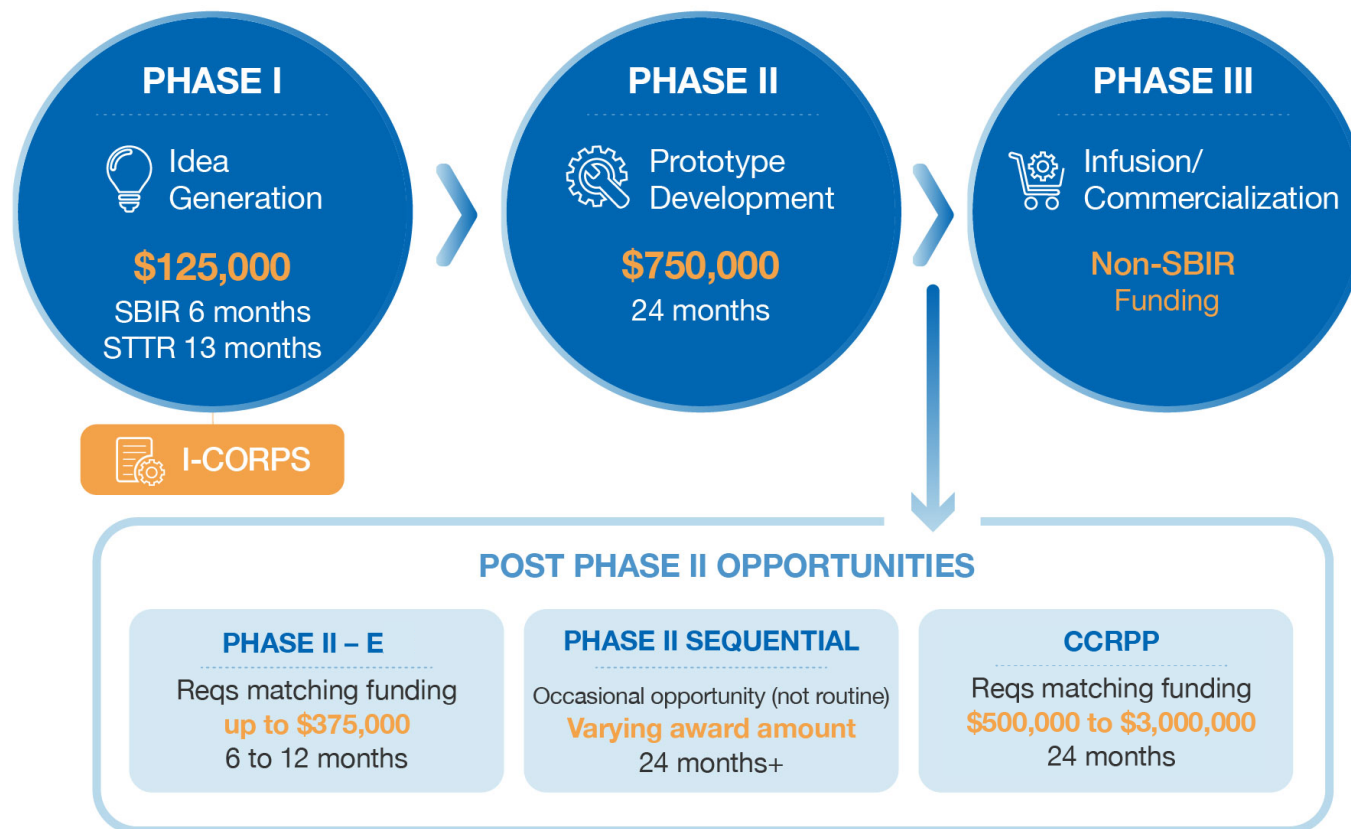
Create opportunities through SBIR/STTR awards to leverage small business knowledge and technology development for maximum impact and contribution



VISION

Empower small businesses to deliver technological innovation that contributes to NASA's missions, provides societal benefit, and grows the U.S. economy

NASA SBIR/STTR Opportunities



NASA SBIR/STTR Post Phase II Purpose



Transition

Maturation

Infusion & Commercialization

Acceleration

Program Website | sbir.nasa.gov



The screenshot shows the SBIR/STTR website interface. The header includes the NASA logo, the text "SBIR · STTR America's Seed Fund™ POWERED BY NASA", a search bar, and a navigation menu with links for Site, Solicitations, and Awards. The main navigation bar contains links for HOME, ABOUT SBIR/STTR, SOLICITATIONS, SCHEDULE & AWARDS, HANDBOOKS, RESOURCES, and CONTACT US. The "ABOUT SBIR/STTR" dropdown menu is open, showing links such as SBIR/STTR Basics, Post Phase II Initiatives, I-Corps, Interactive Participation Guide, 2021 PI Program Authorization, NASA SBIR/STTR Program Definitions, Procurement Information, Additional Sources of Assistance, Q's, and R/STTR Program Information Request. The "Post Phase II Initiatives" link is highlighted with a red box, and an arrow points from a text box to it. The "SCHEDULE & AWARDS" link is also highlighted with a red box, and an arrow points from a text box to it. The main content area features a large blue banner for the "NASA SBIR/STTR PROGRAM 2021 PHASE I SOLICITATION OPENING SOON" with a calendar icon and the dates "November 9, 2020 – January 8, 2021".

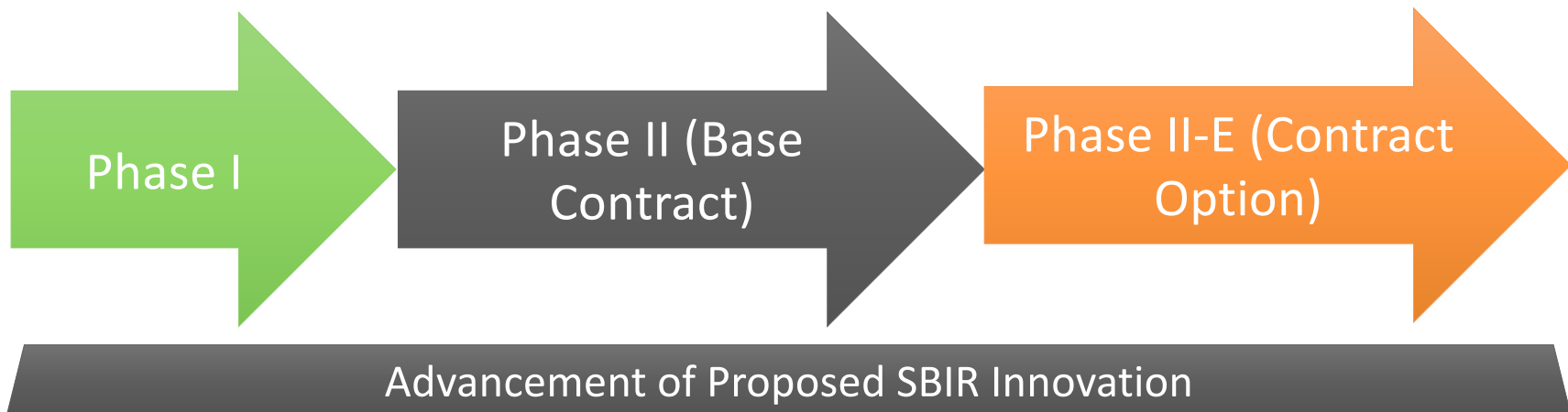
Viewing Open and Forthcoming Opportunities
See the various Post Phase II mechanisms, rules, and application requirements

Award Search
Search our past portfolio of Phase II awards, including contact information

Phase II-E Objective



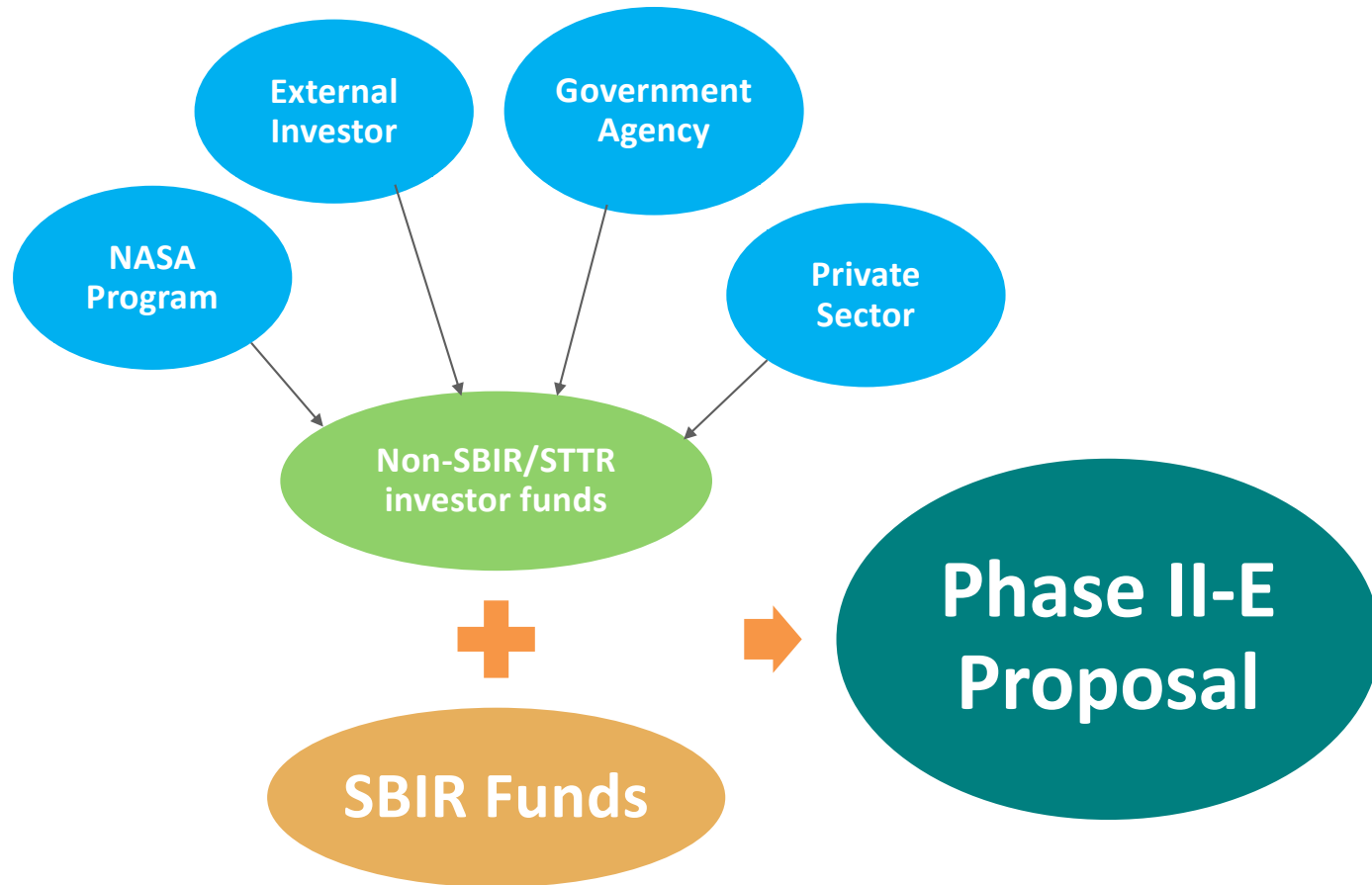
“(...)encourage the advancement of innovations developed under Phase II via an option to further R/R&D efforts underway on active Phase II(...)”



Benefit to Firms: Continued development!

Benefit to Investors: Matching funding for innovative R&D!

Phase II Extended II-E Option



Funding Specifics of Phase II-E



Applicable Period / Solicitation	Minimum Non-SBIR/STTR Funding Required	Corresponding SBIR/STTR Program Contribution
2016 Solicitation - onwards	\$25,000.00	1:1 match to a maximum of \$375,000

Maximum Cumulative Award (Phase II + Phase II-E Match)	Phase II-E Submission Period	Anticipated Period Of Additional Performance
\$1,125,000.00 (SBIR and STTR)	Starts after the 12 th month of performance and ends 60 days before contract end date	6-12 Months

When and How to Apply?



- For Phase II awardees only
- Application period:
 - Starts after the 12th month of performance
 - Ends 60 days before contract end date
 - Phase II Awardees - See your EHB/Contract for specific dates
- Application Guidelines & Requirements:
 - <https://sbir.nasa.gov/content/post-phase-ii-initiatives#Phase-II-E-2016-2>
 - Application Form
 - Investor(s) provided letters of commitment(s)
 - Statement of Work
 - Cost Proposal
 - Briefing Chart
 - Commercialization Plan
 - Apply via EHB – see “Go To Submission” link in Contract under Phase II E/X

Investments



- Must be used to fund work that directly extends the work done in the Phase II.
- Commitment must be made prior to award.
- However, the expenditure must be concurrent with the Phase II-E performance.
- Federal Agency (including NASA Mission Directorates or Programs/Project) investors:
 - Must pay for activities that further the development and/or commercialization of the company's SBIR/STTR technology beyond the Phase II work (e.g., R&D, manufacturing, etc.)
- Non-Federal agency investors:
 - Must provide funding in return for such items as: equity, share of royalties, rights in the technology, percentage of profit, or any combination of the above
 - Funding associated with Phase II-E shall further the technology of the original SBIR Phase II contract

Investment Q&A



- The investment must occur between the Phase II-E Proposal submission date and 45 days after the company's notification of selection, without constraints
- II-E applications can have more than 1 investor!
- NASA is seeking non-SBIR/STTR, third party validation of the technology, and requires that the funds come from an investor external to the SBIR/STTR program
- A small business cannot contribute its own internal funds as part of the II-E investment
- Matching contributions must be in funds, regardless of source; in-kind contributions do not count
- A subcontractor will not qualify as an external investor

Investment Q&A (continued)



- Purchases will not be considered an investment, since a purchase may only represent a procurement need, not a desire to further the technology
- STTRs: investments must be in the Small Business, not the University
 - The Small Business can subcontract some of those funds to the University
- See Section 1.5 of the website for additional information and restrictions on investors (including family, shareholders, affiliates, etc.)
- NASA Flight Opportunities is interested in potentially participating as a Post-Phase II investor, specifically for the use of suborbital flight testing to help advance development or commercialization of the technology, if appropriate to the technology development
 - <https://www.nasa.gov/directorates/spacetech/flightopportunities/opportunities/sbir-sttr-post-phase2>

Exercising Contract Option



- If selected, the firm will receive a "Notice of Intent" to notify of the Government's intent to exercise the Phase II-E Option
- The firm must show proof of funds transferred from the investor to the firm 45 days after receipt of notification that the Phase II-E proposal/application has been selected.
- If proof of receipt of the investment funds is not received by NASA within the 45 days, the option for Phase II-E matching funds will expire
- If the NSSC Contracting Officer exercises the Option, it will be accomplished via a modification.
- The modification will specifically identify the Option period of performance and contract amount.
- If an investment is from a government agency (including NASA), those funds also need to be transferred to the firm and will be in a funding vehicle separate from the Phase II contract
 - This can be done via a separate Phase III contract or a modification/new task on another existing non-SBIR/STTR contract

Questions?



Visit our Website
www.SBIR.NASA.gov

Sign up for our Newsletter
<https://sbir.nasa.gov/info>

Contact the Helpdesk
301.937.0888